



PATENT  
Attorney Docket No.: SLM-06400

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

David T. Amm, *et al.*

Serial No.: 09/930,838

Filed: August 15, 2001

For: **BLAZED GRATING LIGHT  
VALVE**

) Group Art Unit: 2872

) Examiner: John Juba Jr.

) **SUPPLEMENTAL INFORMATION**  
) **DISCLOSURE STATEMENT**

) 162 N. Wolfe Road  
) Sunnyvale, CA 94086  
) (408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

The citations listed below, copies attached, may be material to the examination of the above-identified application, and are therefore submitted in compliance with the duty of disclosure defined in 37 C.F.R. §§ 1.56 and 1.97. The Examiner is requested to make these citations of official record in this application.

Applicant has become aware of the following printed publication which may be material to the examination of this application:


- U.S. Patent No. 5,919,548;
- U.S. Patent No. 6,069,392; and
- U.S. Patent No. 6,123,985.

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This Supplemental Information Disclosure Statement under 37 C.F.R. §§ 1.56 and 1.97 is not to be construed as a representation that a search has been made, that additional information material to the examination of this application does not exist, or that anyone or more of these citations constitutes prior art.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 2-5-03

By:   
Thomas B. Haverstock  
Reg. No.: 32,571


Attorneys for Applicants

**CERTIFICATE OF MAILING (37 CFR § 1.8(a))**

I hereby certify that this paper (along with any referred to as being attached or enclosed) is being deposited with the U.S. Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the: Assistant Commissioner for Patents, Washington D.C. 20231

- 2 -

HAVERSTOCK & OWENS LLP

Date: 2/5/03 By: 



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) **CERTIFICATION FOR  
SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR § 1.97(e)**

) 162 N. Wolfe Road  
Sunnyvale, CA 94086  
(408) 530-9700

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This certification is being made for the Supplemental Information Disclosure Statement accompanying this certification.

**Certification**

I hereby certify that the attached three (3) references contained in this information disclosure statement were cited within an International Search Report (ISR) mailed on November 8, 2002. **Accordingly, the references contained in the information disclosure statement were cited in a communication from a foreign patent office in a counterpart application not more than three months prior to the filing of the statement. 37 C.F.R. 1.97(e)(1).**

**Identification of Person Making Certification**

The person making this certification is the attorney who signs below on the basis of the information in the attorney's file.

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 2-5-03

By: \_\_\_\_\_

Thomas B. Havestock  
Reg. No.: 32,571

Attorneys for Applicants

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**HAVERSTOCK & OWENS LLP.**

Date: 2/5/03 By: Sharon McCannick



#13/IDS 2872

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TRANSMITTAL LETTER

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Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Enclosed please find a Supplemental Information Disclosure Statement, a Certification pursuant to 37 C.F.R. § 1.97(e) for the Information Disclosure Statement, and Form PTO-1449, including copies of the references contained thereon, for filing in the U.S. Patent and Trademark Office.

The Commissioner is hereby authorized to charge any additional fee or credit overpayment to our Deposit Account No. 08-1275. **An originally executed duplicate of this transmittal is enclosed for this purpose.**

Respectfully submitted,  
HAVERSTOCK & OWENS LLP

Dated: 2-5-03

By: Thomas B. Haverstock  
Thomas B. Haverstock  
Reg. No.: 32,571

Attorneys for Applicants

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HAVERSTOCK & OWENS LLP

Date: 2/5/03 By: Sharon M. Carmack